



ALZ5045/ARC3307 R1

PTO/SB/01 (10-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Please type a plus sign (+) inside this box ☐

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

<b>DECLARATION AND POWER OF ATTORNEY FOR UTILITY OR DESIGN PATENT APPLICATION (37 CFR 1.63)</b>  <input type="checkbox"/> Declaration Submitted with Initial Filing <b>OR</b> <input checked="" type="checkbox"/> Declaration Submitted after Initial Filing (Surcharge (37 CFR 1.16(e)) required)	Attorney Docket Number	ALZ5045/ARC3307R1		
	First Named Inventor	Guohua Chen		
	COMPLETE IF KNOWN			
	Application Number	60/424,428		
	Filing Date	November 6, 2002		
	Group Art Unit	n/a		
Examiner Name	n/a			
<b>As a below named inventor, I hereby declare that:</b>  My residence, mailing address, and citizenship are as stated below next to my name. I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:				
<b>CONTROLLED RELEASE DEPOT FORMULATIONS</b> (Title of the Invention)				
the specification of which  <input checked="" type="checkbox"/> is attached hereto  OR  <input type="checkbox"/> was filed on (MM/DD/YYYY) <input type="text"/> as United States Application Number or PCT International Application Number <input type="text"/> and was amended on (MM/DD/YYYY) <input type="text"/>				
I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.				
I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.				
I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or any PCT international application having a filing date before that of the application on which priority is claimed.				
Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached? YES      NO
			<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
<input type="checkbox"/> Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:				



ALZ5045/ARC3307 R1

**DECLARATION - Utility or Design Patent Application**

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

Application Number(s)	Filing Date (MM/DD/YYYY)	
60/424,428	November 6, 2002	<input type="checkbox"/> Additional provisional application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Application Serial No.	Filing Date	Status
		Patented Patented Patented

I hereby appoint:

☒ Practitioners at Customer Number **000027777** →Place Customer  
Number Bar Code  
Label Here

AND

☒ Practitioner(s) named below:

<u>Name</u>	<u>Registration Number</u>
<b>Angela Nwaneri</b>	<b>34,229</b>
<b>Samuel E. Webb</b>	<b>44,394</b>

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

**Address all telephone calls to Samuel E. Webb, Esq. at telephone number (732) 524-5106.**

Direct all correspondence to: Customer Number  
☒ or Bar Co de Label **000027777** OR ☐ Correspondence address below

Name:

Address:

Address:

City:

State:

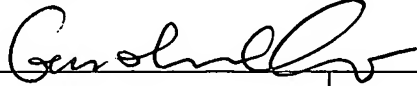
ZIP

Country

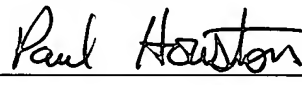
Telephone:

Fax:

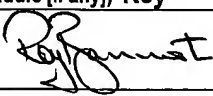
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

NAME OF SOLE OR FIRST INVENTOR:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle [if any]) Guohua		Family Name or Surname Chen	
Inventor's Signature 		Date 10/29/03	
Residence: City Sunnyvale	State CA	Country U.S.A.	Citizenship U.S.A.
Mailing Address 399 Sunset Avenue			
City Sunnyvale	State CA	ZIP 94086	Country U.S.A.


I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

NAME OF SECOND INVENTOR:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle [if any]) Paul		Family Name or Surname Houston	
Inventor's Signature 		Date 10-29-2003	
Residence: City Hayward	State CA	Country U.S.A.	Citizenship U.S.A.
Mailing Address 3889 Blackstone CT			
City Hayward	State CA	ZIP 94542	Country U.S.A.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

NAME OF THIRD INVENTOR:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle [if any]) Roy		Family Name or Surname Bannister	
Inventor's Signature 		Date October 30, 2003	
Residence: City Hollister	State CA	Country U.S.A.	Citizenship U.K.
Mailing Address 2090 Nora Drive			
City Hollister	State CA	ZIP 95023	Country U.S.A.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.			
NAME OF SOLE OR FIRST INVENTOR:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any)) <b>Teresa</b>		Family Name or Surname <b>Kameda</b>	
Inventor's Signature <i>Teresa Kameda</i>		Date <i>10/30/03</i>	
Residence: City <b>Sunnyvale</b>	State <b>CA</b>	Country <b>U.S.A.</b>	Citizenship <b>U.S.A.</b>
Mailing Address <b>1067 Lois Avenue</b>			
City <b>Sunnyvale</b>	State <b>CA</b>	ZIP <b>94087</b>	Country <b>U.S.A.</b>
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.			
NAME OF SECOND INVENTOR:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any)) <b>David</b>		Family Name or Surname <b>Priebe</b>	
Inventor's Signature		Date	
Residence: City <b>Seattle</b>	State <b>WA</b>	Country <b>U.S.A.</b>	Citizenship <b>U.S.A.</b>
Mailing Address <b>125 NorthEast 63<sup>rd</sup> Street</b>			
City <b>Seattle</b>	State <b>WA</b>	ZIP <b>98115</b>	Country <b>U.S.A.</b>
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.			
NAME OF THIRD INVENTOR:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any)) <b>Lothar</b>		Family Name or Surname <b>Kleiner</b>	
Inventor's Signature		Date	
Residence: City <b>Los Altos</b>	State <b>CA</b>	Country <b>U.S.A.</b>	Citizenship <b>U.S.A.</b>
Mailing Address <b>295 Los Altos Court</b>			
City <b>Los Altos</b>	State <b>CA</b>	ZIP <b>94022</b>	Country <b>U.S.A.</b>

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.			
NAME OF SOLE OR FIRST INVENTOR:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any)) Teresa		Family Name or Surname Kameda	
Inventor's Signature		Date	
Residence: City Sunnyvale	State CA	Country U.S.A.	Citizenship U.S.A.
Mailing Address 1067 Lois Avenue			
City Sunnyvale	State CA	ZIP 94087	Country U.S.A.
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.			
NAME OF SECOND INVENTOR:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any)) David		Family Name or Surname Priebe	
Inventor's Signature 		Date 10/4/03	
Residence: City Seattle	State WA	Country U.S.A.	Citizenship U.S.A.
Mailing Address 125 NorthEast 63 <sup>rd</sup> Street			
City Seattle	State WA	ZIP 98115	Country U.S.A.
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.			
NAME OF THIRD INVENTOR:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any)) Lothar		Family Name or Surname Kleiner	
Inventor's Signature		Date	
Residence: City Los Altos	State CA	Country U.S.A.	Citizenship U.S.A.
Mailing Address 295 Los Altos Court			
City Los Altos	State CA	ZIP 94022	Country U.S.A.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.			
NAME OF SOLE OR FIRST INVENTOR:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any)) Teresa		Family Name or Surname Kameda	
Inventor's Signature		Date	
Residence: City Sunnyvale	State CA	Country U.S.A.	Citizenship U.S.A.
Mailing Address 1067 Lois Avenue			
City Sunnyvale	State CA	ZIP 94087	Country U.S.A.
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.			
NAME OF SECOND INVENTOR:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any)) David		Family Name or Surname Pribe	
Inventor's Signature		Date	
Residence: City Seattle	State WA	Country U.S.A.	Citizenship U.S.A.
Mailing Address 125 NorthEast 63 <sup>rd</sup> Street			
City Seattle	State WA	ZIP 98115	Country U.S.A.
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.			
NAME OF THIRD INVENTOR:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any)) Lothar		Family Name or Surname Kleiner	
Inventor's Signature <i>Lothar Kleiner</i>		Date <i>Oct 30, 2003</i>	
Residence: City Los Altos	State CA	Country U.S.A.	Citizenship U.S.A.
Mailing Address 295 Los Altos Court			
City Los Altos	State CA	ZIP 94022	Country U.S.A.

## ASSIGNMENT

Serial No. 60/424,428  
Filed November 6, 2002

## WHEREAS,

(1) <u>Guohua Chen</u>	(2) <u>Paul Houston</u>
(3) <u>Roy Bannister</u>	(4) <u>Teresa Kameda</u>
(5) <u>David Priebe</u>	(6) <u>Lothar Kleiner</u>

respectively residing at:

(1) <u>399 Sunset Ave., Sunnyvale, CA 94086</u>	(2) <u>3889 Blackstone Ct., Hayward CA 94542</u>
(3) <u>2090 Nora Dr., Hollister, CA 95023</u>	(4) <u>1067 Lois Ave., Sunnyvale, CA 94087</u>
(5) <u>125 NorthEast 63<sup>rd</sup> Street</u> <u>Seattle, Washington, 98115</u>	(6) <u>295 Los Altos Court, Los Altos, CA 94022</u>

(hereinafter called "Assignors"), have made certain new and useful inventions or discoveries relating to

## CONTROLLED RELEASE DEPOT FORMULATIONS

which is described in the United States Provisional Application s/n 60,424,428 filed on November 6, 2002 for Letters Patent of the United States;

and

WHEREAS, ALZA Corporation, a corporation of the State of Delaware, (hereinafter called "Assignee"), is desirous of acquiring Assignors' entire right, title, and interest therein:

NOW, THEREFORE, BE IT KNOWN that for and in consideration of the sum of One Dollar and other valuable considerations to them moving, the receipt of which is hereby acknowledged, Assignors have sold, assigned, and transferred, and do hereby sell, assign and transfer unto said Assignee their entire right, title and interest in and to all said inventions and discoveries disclosed in said application whose identification above by serial number and filing date, when available is hereby authorized, and in and to said application, all substitutions, divisions, and continuations thereof, and in and to all Letters Patent, United States and foreign, that may be granted for said inventions and discoveries, and in and to all extensions, renewals, and reissues thereof, the same to be held and enjoyed by said Assignee, its successors and assigns, as fully and entirely as the same would have been held and enjoyed by Assignors if this Assignment and sale had not been made;

And Assignors hereby authorize and request the Commissioner of Patents of the United States to issue said Letters Patent in accordance with this Assignment;

And for the consideration aforesaid, Assignors covenant and agree with said Assignee that he has a full and unencumbered title to the inventions and discoveries above described and hereby assigned, which title they warrant unto said Assignee, its successors and assigns;

DOCKET NO. ARC 3307 P1 / ALZ5045

And for the consideration aforesaid, Assignors further covenant and agree that they will, whenever requested, but without cost to them promptly communicate to said Assignee or its representatives any facts known to them relating to said inventions and discoveries, testify in any interference or legal proceedings involving said inventions and discoveries, and execute any additional papers that may be necessary to enable said Assignee or its representatives, successors, nominees, or assigns to secure full and complete protection for the said inventions and discoveries or that may be necessary to vest in said Assignee the complete title to the said inventions and discoveries and patents hereby conveyed and to enable it to record said title.

IN TESTIMONY WHEREOF, we have each hereunto set our hands.

Guohua Chen this 10<sup>th</sup> day of October 2003; and  
Guohua Chen

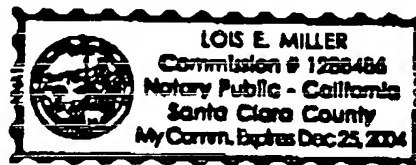
STATE OF CALIFORNIA )  
COUNTY OF SANTA CLARA )

On Oct 10, 2003, before me, Lois E. Miller, a Notary Public

personally appeared, Guohua Chen, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Lois E. Miller (SEAL)  
NOTARY PUBLIC SIGNATURE





DOCKET NO. ARC 3307 P1 / ALZ5045

Paul Houston this 16 day of October 2003; and  
 Paul Houston

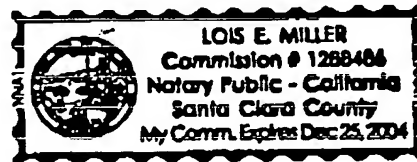
STATE OF CALIFORNIA )  
 COUNTY OF SANTA CLARA )

On Oct 16 2003, before me, Lois E. Miller, a Notary Public

personally appeared, Paul Houston, personally known to me (~~or proved to me on the basis of satisfactory evidence~~) to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

[Signature] (SEAL)  
 NOTARY PUBLIC SIGNATURE



Roy Bannister this 16th day of October 2003.  
 Roy Bannister

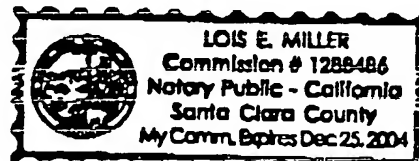
STATE OF CALIFORNIA )  
 COUNTY OF SANTA CLARA )

On Oct 16 2003, before me, Lois E. Miller, a Notary Public

personally appeared, Roy Bannister, personally known to me (~~or proved to me on the basis of satisfactory evidence~~) to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

[Signature] (SEAL)  
 NOTARY PUBLIC SIGNATURE



DOCKET NO. ARC 3307 P1 / ALZ5045

Teresa Kameda this 14 day of October 2003; and  
 Teresa Kameda

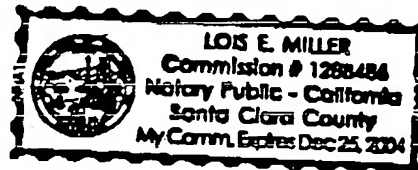
STATE OF CALIFORNIA )  
 COUNTY OF SANTA CLARA )

On Oct 14, 2003, before me, Lois E. Miller, a Notary Public

personally appeared, **Teresa Kameda**, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument and acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Lois E. Miller (SEAL)  
 NOTARY PUBLIC SIGNATURE



\_\_\_\_\_ this \_\_\_\_\_ day of \_\_\_\_\_ 2003.  
 David Priebe

STATE OF CALIFORNIA )  
 COUNTY OF SANTA CLARA )

On \_\_\_\_\_, 2003, before me, \_\_\_\_\_, a Notary Public

personally appeared, **David Priebe**, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument and acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

\_\_\_\_\_ (SEAL)  
 NOTARY PUBLIC SIGNATURE

DOCKET NO. ARC 3307 P1 / ALZ5045

\_\_\_\_\_ this \_\_\_\_\_ day of \_\_\_\_\_ 2003; and

**Teresa Kameda**

STATE OF CALIFORNIA       )  
COUNTY OF SANTA CLARA   )

On \_\_\_\_\_, 2003, before me, Leis E. Miller, a Notary Public

personally appeared, **Teresa Kameda**, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument and acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

(SEAL)

\_\_\_\_\_  
NOTARY PUBLIC SIGNATURE

*David Priebe* this 14<sup>th</sup> day of October 2003.

**David Priebe**

WASHINGTON  
STATE OF CALIFORNIA       )  
COUNTY OF SANTA CLARA   )

On Oct. 14, 2003, before me, Victoria E. Lukevich, a Notary Public

personally appeared, **David Priebe**, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument and acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

*Victoria E. Lukevich*  
NOTARY PUBLIC SIGNATURE



DOCKET NO. ARC 3307 P1 / ALZ5045

Lothar W. Kleiner this 14<sup>th</sup> day of October 2003; and  
 Lothar Kleiner

STATE OF CALIFORNIA )  
 COUNTY OF SANTA CLARA )

On: Oct. 14 2003, before me, Lois E. Miller, a Notary Public

personally appeared, **Lothar Kleiner**, personally known to me (or ~~proved to me on the basis of~~  
~~satisfactory evidence~~) to be the person whose name is subscribed to the within instrument and  
 acknowledged to me that ~~he~~<sup>she</sup> executed the same in ~~his~~<sup>her</sup> authorized capacity, and that by  
~~his~~<sup>her</sup> signature on the instrument the person, or the entity upon behalf of which the person acted,  
 executed the instrument.

WITNESS my hand and official seal.

 (SEAL)  
 NOTARY PUBLIC SIGNATURE

